

# RECORDS RETENTION SCHEDULE

RC-50 REV 7/83

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 1 OF 13

## PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY  DEPARTMENT OF ENVIRONMENTAL PROTECTION		(4) NAME OF DIVISION  WASTE ENGINEERING AND ENFORCEMENT DIVISION	
(5) ("X" One) SCHEDULE	<input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISED	(6) RETENTION SCHEDULE NUMBER  94-2-3	
(7) ITEM#		(8) DESCRIPTIVE TITLE OF RECORD	
		(9) OFFICE	
		(10) RECORDS CENTER	
		(11) LEGAL REQUIREMENTS	
1.	Resource Conservation and Recovery Act (RCRA) Hazardous Waste and Solid Waste (non-hazardous waste) Files (i.e. files relating to specific sites or persons) (arranged first alphabetically by town name, then alphabetically by site/company name within each town, and then in the following a - I subseries for each site/company).		
a.	Correspondence - contains correspondence generated and/or received by the Department pertaining to the specific RCRA or Solid Waste site or person.		15 Years
b.	Inspection - contains reports and memos documenting inspections conducted to evaluate the site's compliance with RCRA or Solid Waste laws. Also contains historical information for a site -- i.e. types of chemicals used, types and volumes of wastes generated, descriptions of processes/operations, waste disposal practices, descriptions of site contamination issues.		Permanent/Archival

(12) AGENCY APPROVAL  
☒ APPROVED  
☐ DISAPPROVED

SIGNATURE Agency RMLC  
Victoria A. Wentworth 2/7/94

APPROVED (Public Records Administrator)  
Dennis G. DeBelle DATE 2/23/94  
Michael R. Jones State Archivist 2/22/94

## (2) DATE

2-7-94

12) AGENCY APPROVAL  
Approved X

SIGNATURE *Agency R4LO*  
*Victoria Venturini 2/7/94*

APPROVED (Public Records Administrator)  
*James G. DiBella*  
*Mark H. Jones State Archivist*

DATE 2/23/94  
2/22/94



(2) DATE 2-7-94

2) AGENCY APPROVAL  
APPROVED ☒  
DISAPPROVED ☐

SIGNATURE *Agency RUCO*  
*Victoria Wentworth* 2/7/94

APPROVED (Public Records Administrator)  
*James L. DeRube*  
*Mark A. Jones*

DATE 2/23/94  
2/22/94

# RECORDS RETENTION SCHEDULE

RC-50 REV 3

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 4 OF

## PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY <b>DEPARTMENT OF ENVIRONMENTAL PROTECTION</b>		(4) NAME OF DIVISION <b>WASTE ENGINEERING AND ENFORCEMENT DIVISION</b>	
(5) ("X" One) SCHEDULE <input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISED	(6) RETENTION SCHEDULE NUMBER <b>94-2-3</b>	(11) LEGAL REQUIREMENTS	
(8) DESCRIPTIVE TITLE OF RECORD		(9) OFFICE	(10) RECORDS CENTER
e. Solid Waste Permits - for the construction, alteration or operation of solid waste treatment, storage, or disposal facilities.		Permanent	
f. Applications for permits specified in e.		Permanent	
g. Requests for and approvals of permit transfers.		Permanent	
h. Denials or withdrawals of solid waste permit applications.		10 Years	
i. Groundwater Monitoring - laboratory analytical data pertaining to groundwater monitoring activities at RCRA and Solid Waste facilities.		Permanent	

(12) AGENCY APPROVAL  
☒ APPROVED  
☐ DISAPPROVED

SIGNATURE  
*Victor Venturo*  
2/7/94

APPROVED (Public Records Administrator)  
*Mark A. Jones*  
2/23/94

DATE  
2/23/94



PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY

DEPARTMENT OF ENVIRONMENTAL PROTECTION

(4) NAME OF DIVISION

WASTE ENGINEERING AND ENFORCEMENT DIVISION

(5) ("X" One)  
SCHEDULE

☒ ORIGINAL  
☐ REVISED

(If revised, enter previous retention schedule no. here).

(6) RETENTION SCHEDULE NUMBER

94-2-3

APPROVED RETENTION

(11) LEGAL REQUIREMENTS

(7) ITEM#

(8)

DESCRIPTIVE TITLE OF RECORD

(9)

OFFICE

(10) RECORDS CENTER

j. Reports

- i. reports submitted by respondents to DEP enforcement actions (e.g. order, notices of violation, referral to AG) to document remedial actions taken to correct violations of RCRA and Solid Waste laws.
- ii. reports by responsible parties pertaining to and documenting groundwater monitoring (information of historical significance).
- iii. reports by responsible parties pertaining to soil/groundwater/surface water pollution investigations and remediations (information of historical significance).

10 Years from date of formal compliance letter or closure memo.

Permanent/Archival

Permanent/Archival

12) AGENCY APPROVAL  
☒ APPROVED  
☐ DISAPPROVED

SIGNATURE *Agency RMLD*  
*Victoria Kent* 2/7/94

APPROVED (Public Records Administrator)  
*[Signature]* 2/23/94  
*Mark DeLong*

DATE 2/23/94  
2/23/94

# RECORD RETENTION SCHEDULE

RC-50 REV 7

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 6 OF 1

## PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY

DEPARTMENT OF ENVIRONMENTAL PROTECTION

(4) NAME OF DIVISION

WASTE ENGINEERING AND ENFORCEMENT DIVISION

(5) ("X" One)  
SCHEDULE

☒ ORIGINAL  
☐ REVISED

(If revised, enter previous retention schedule no. here).

(6) RETENTION SCHEDULE NUMBER

94-2-3

### APPROVED RETENTION

(11) LEGAL REQUIREMENTS

(7) ITEM#

(8)

DESCRIPTIVE TITLE OF RECORD

(9)

OFFICE

(10) RECORDS CENTER

k. Final DEP Approved Closure Plans - describe procedures to be followed by responsible parties in closing solid waste, hazardous waste, and Section 22a-454 facilities.

Permanent/Archival

l. Bio-Medical Waste Disposal Alternative Technology Application Approvals - alternative treatment for sterilizing or disinfecting bio-medical waste (e.g. chemical disinfection, microwave, autoclaving, grinding, etc.).

Permanent

(12) AGENCY APPROVAL

☒ APPROVED  
☐ DISAPPROVED

SIGNATURE

Agency RMLO  
Victoria Wentworth 2/7/94

APPROVED (Public Records Administrator)

Sumit B. B. B.  
Mark H. Jones State Archivist

DATE

2/23/94  
2/22/94

PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY

DEPARTMENT OF ENVIRONMENTAL PROTECTION

(4) NAME OF DIVISION

WASTE ENGINEERING AND ENFORCEMENT DIVISION

(5) ("X" One)  
SCHEDULE

☒ ORIGINAL  
☐ REVISED

(If revised, enter previous retention schedule no. here).

(6) RETENTION SCHEDULE NUMBER

94-2-3

APPROVED RETENTION

(11) LEGAL REQUIREMENTS

(7) ITEM#

(8) DESCRIPTIVE TITLE OF RECORD

(9) OFFICE

(10) RECORDS CENTER

2. Agenda Meeting Summaries - monthly report detailing proposed enforcement actions to be taken against regulatory violators and detailing enforcement actions resolved (i.e. compliance achieved, penalties paid, etc.) within the previous month.

1 Year

3. Enforcement Orders - original consent and unilateral orders issued by the Commissioner and Notices of Violations issued by the Directors.

Permanent/Archival

2) AGENCY APPROVAL

☒ APPROVED  
☐ DISAPPROVED

SIGNATURE

Agency RMLD  
Victoria Wentworth 2/7/94

APPROVED (Public Records Administrator)

Eunice B. De Bella, Mark Jones  
esd

DATE

2/24/94



# RETENTION SCHEDULE

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 8 OF 1

## PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY

DEPARTMENT OF ENVIRONMENTAL PROTECTION

(4) NAME OF DIVISION

WASTE ENGINEERING AND ENFORCEMENT DIVISION

(5) ("X" One)  
SCHEDULE

☒ ORIGINAL  
☐ REVISED

(If revised, enter previous retention schedule no. here).

(6) RETENTION SCHEDULE NUMBER

94-2-3

### APPROVED RETENTION

(11) LEGAL REQUIREMENTS

(7) ITEM#

(8)

DESCRIPTIVE TITLE OF RECORD

(9) OFFICE

(10) RECORDS CENTER

4. Photographs, Negatives, Slides - document violations of hazardous waste and solid waste regulations, supplement inspection file information and support enforcement actions.

Permanent/Archival

5. Enforcement Action Summaries, Coordination Worksheets, and Final Penalty Calculations

Permanent

6. Company Tax Return/"Financial Health " Information (per consent order negotiations) - financial data is input into EPA computer model to evaluate an ability to pay a penalty or economic benefits derived from non-compliance with regulations.

5 Years after order or judgement imposing penalty is final.

12) AGENCY APPROVAL  
APPROVED  
DISAPPROVED

SIGNATURE Agency RMLD  
Victoria Westcott 2/7/94

APPROVED (Public Records Administrator)  
[Signature]

DATE 2/23/94



# RECORD RETENTION SCHEDULE

RC-50 REV 7/80

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 9 OF

## PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY <b>DEPARTMENT OF ENVIRONMENTAL PROTECTION</b>		(4) NAME OF DIVISION <b>WASTE ENGINEERING AND ENFORCEMENT DIVISION</b>	
(5) ("X" One) SCHEDULE	<input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISED	(6) RETENTION SCHEDULE NUMBER <b>94-2-3</b>	
		(11) LEGAL REQUIREMENTS	
(7) ITEM#	(8) DESCRIPTIVE TITLE OF RECORD	(9) OFFICE	(10) RECORDS CENTER
7.	RCRA Generator and Facility Annual and Biennial Reports - reports are required to be submitted by regulation and detail a generator's or facility's hazardous waste activities for the given time period.	Permanent/Archival	
8.	Informed Forms( formerly referred to as Compliance Monitoring and Enforcements Logs) - logs completed by DEP staff to keep EPA informed of state inspection, enforcement, permitting and closure activities.	3 Years	

AGENCY APPROVAL  
APPROVED

SIGNATURE *Agency RMLW*  
*Victoria Wentworth* 2/7/94

APPROVED (Public Records Administrator)  
*Michael J. Smith*  
Michael J. Smith, State Archivist

DATE **2/23/94**  
2/23/94

# RECORD RETENTION SCHEDULE

RC-50 REV 7/1

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 10 OF 13

## PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY

DEPARTMENT OF ENVIRONMENTAL PROTECTION

(4) NAME OF DIVISION

WASTE ENGINEERING AND ENFORCEMENT DIVISION

(5) ("X" One)  
SCHEDULE

☒ ORIGINAL  
☐ REVISED

(If revised, enter previous retention schedule no. here).

(6) RETENTION SCHEDULE NUMBER

94-2-3

### APPROVED RETENTION

(11) LEGAL REQUIREMENTS

(7) ITEM#

(8) DESCRIPTIVE TITLE OF RECORD

(9) OFFICE

(10) RECORDS CENTER

9. Temporary Identification Numbers Issued to RCRA generators for use by them on manifests.

30 days after it ceases to be legally valid.

10. DEP Approved Town Waste Management Plans - plans (20 year period) provide short and long term strategy to meet solid waste management needs of the municipality.

20 Years

11. Proposed Solid Waste Facilities, Studies, Site Surveys (never implemented) - includes proposals to site solid waste disposal areas, construct resource recovery facilities, transfer stations, etc.

3 Years after submission

12. Citizen Complaint Log Book - complaint forms containing allegations of improper waste handling at a given location (maintained in reverse numerical order).

5 Years

13. Hazardous Waste Transporter Files

a. Waste Transporter Monthly Report Files - monthly reports submitted by waste transporters to document their waste transport activities.

Permanent/Archival

2) AGENCY APPROVAL

SIGNATURE

Agency RMLO  
Victoria Wentworth 2/7/94

APPROVED (Public Records Administrator)

James P. MB  
Mark A. Jones State Archivist

DATE

2/23/94  
2/22/94



RECORDS RETENTION SCHEDULE  
RC-50 REV 3

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 11 OF

PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY

DEPARTMENT OF ENVIRONMENTAL PROTECTION

(4) NAME OF DIVISION

WASTE ENGINEERING AND ENFORCEMENT DIVISION

(5) ("X" One)  
SCHEDULE

☒ ORIGINAL  
☐ REVISED

(If revised, enter previous retention schedule no. here).

(6) RETENTION SCHEDULE NUMBER

94-2-3

APPROVED RETENTION

(11) LEGAL REQUIREMENTS

(7) ITEM#

(8)

DESCRIPTIVE TITLE OF RECORD

(9)

OFFICE

(10) RECORDS CENTER

b. Waste Transporter Permit Files - permits issued by DEP to transporters to transport waste in and through Connecticut.

i. Pre-1985 Files

Permanent

ii. Post-1985 Files

Permanent

12) AGENCY APPROVAL  
☒ APPROVED  
☐ DISAPPROVED

SIGNATURE Agency PMLO  
Victoria Wentworth 2/7/94

APPROVED (Public Records Administrator)  
M. D. [Signature] 2/23/94

DATE 2/23/94

RECORDS RETENTION SCHEDULE  
RC-50 REV 3

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 12 OF 1

PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY

DEPARTMENT OF ENVIRONMENTAL PROTECTION

(4) NAME OF DIVISION

WASTE ENGINEERING AND ENFORCEMENT DIVISION

(5) ("X" One)  
SCHEDULE

☒ ORIGINAL  
☐ REVISED

(If revised, enter previous retention schedule no. here).

(6) RETENTION SCHEDULE NUMBER

94-2-3

APPROVED RETENTION

(11) LEGAL REQUIREMENTS

(7) ITEM#

(8)

DESCRIPTIVE TITLE OF RECORD

(9)

OFFICE

(10) RECORDS CENTER

14.

Bio-Medical Waste Transporter Permit Applications

2 Years or upon  
renewal of permit,  
whichever is earlier.

15.

Bio-Medical Waste Transporter Generator Lists

Until superceded by  
updated generator  
list.

16.

Bio-Medical Waste Transporter Annual Report - (volumes of wastes  
hailed and disposed).

50 Years

17.

Bio-Medical Waste Manifests - tracking forms for waste generators for  
monthly medical waste disposal (includes generator information, waste  
volumes, disposal site, etc.).

5 Years

18.

Household Hazardous Waste Collection Plans - plans prepared by towns  
regarding their household hazardous waste collection days.

3 Years

19.

Financial Assurance Documents - a bond or other surety to cover the cost  
of properly closing a disposal facility at any time and to cover the cost of  
post-closure maintenance.

Until Superceded

20.

Liability Insurance Documents - hazardous waste facilities must have  
such insurance in place (per regulations) for sudden and non-sudden  
accidental occurrences at their facilities.

Until Superceded

(12) AGENCY APPROVAL  
☒ APPROVED  
☐ DISAPPROVED

SIGNATURE *Agency R/W*  
*Victoria Wentworth* 2/7/94

APPROVED (Public Records Administrator)

*Suppl to m 13*  
*Mark L. ...*

DATE 2/23/94



# RECORD RETENTION SCHEDULE

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106

(1) PAGE: 13 OF 1

## PUBLIC RECORDS ADMINISTRATION

(2) DATE 2-7-94

(3) NAME OF AGENCY

DEPARTMENT OF ENVIRONMENTAL PROTECTION

(4) NAME OF DIVISION

WASTE ENGINEERING AND ENFORCEMENT DIVISION

(5) ("X" One)  
SCHEDULE

☒ ORIGINAL  
☐ REVISED

(If revised, enter previous retention schedule no. here).

(6) RETENTION SCHEDULE NUMBER

94-2-3

### APPROVED RETENTION

(11) LEGAL REQUIREMENTS

(7) ITEM#

(8)

DESCRIPTIVE TITLE OF RECORD

(9)

OFFICE

(10) RECORDS CENTER

21. Sampling chain-of-custody Records - Chain-of-custody records and sampling and analytical reports for samples collected by DEP inspectors during site visits/investigations and inspections.

50 Years

22. Evidentiary Records in Hazardous Waste, Solid Waste and Section 22a-454 Contested Cases/Hearing Records.

20 Years

2) AGENCY APPROVAL  
APPROVED  
DATE

SIGNATURE Agency R/W/D  
Victoria Wentworth 2/7/94

APPROVED (Public Records Administrator)  
Mark A. Jones State Archivist

DATE 2/23/94  
2/22/94

## RC-50 REV. 7/83

STATE OF CONNECTICUT  
Connecticut State Library  
231 Capitol Ave., Hartford, CT 06106  
**PUBLIC RECORDS ADMINISTRATION**

(1) PAC 1 of 1

(2) DATE 7/18/94

[illegible]

(12) AGENCY APPROVAL

☒ APPROVED

SIGNATURE

SIGNATURE *Victoria M. Wentworth* Agency *RYLB* 7/18/94

APPROVED (Public Records Administrator)

APPROVED (Public Records Administrator) *Mark Z. Jones* DATE *7-26-94*  
*Mark Z. Jones - State Archivist* **FORM 7-7-1994**

DATE \_\_\_\_\_